PATENT APPLICATION
Attorney's Do. No. 6647-13

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Stephen R. Carter, Delos C. Jensen and Ronald P. Millett

Serial No.:   09/615,726

Filed: July 13, 2000

For: A METHOD AND MECHANISM FOR THE CREATION, MAINTENANCE, AND
       COMPARISON OF SEMANTIC ABSTRACTS

Box DD
Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Applicant submits herewith PTO Form 1449 and copies of patents and publications of which he is aware which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR Section 1.56.

The above-referenced application is related to co-pending U.S. Patent application Serial No. 09/109,804, filed July 2, 1998, and to co-pending U.S. Patent application Serial No. 09/512,963, filed February 25, 2000.

It is understood that the listed references will be considered in the examination of the application and that no separate copies of the same prior art are required to be provided since they were previously cited or transmitted in the foregoing prior application. 37 CFR Section 1.98(d). Copies of forms 892 and 1449 from the prior application are enclosed.

Respectfully submitted,

MARGER JOHNSON & McCOLLOM, P.C.

Ariel Rogson
Reg. No. 43,054

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Atty. Docket No.: 6647-13
Applicant: Stephen R. Carter, Delos C. Jensen and Ronald P. Millett
Filing Date: July 13, 2000

Serial No. _____
Group: _____

INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)

U.S. PATENT DOCUMENTS

Exam Init	Ref	Document Number	Issue Date	Name	Class	Sub-Class
_____	_____	5,317,507	5/1994	Gallant	707	532
_____	_____	5,325,298	6/1994	Gallant	704	9
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FOREIGN PATENT DOCUMENTS

		Document Number	Publication Date	Country	Name
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_____	_____				

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OTHER DOCUMENTS

Exam Init	Ref	(Including Author, Title, Date, Pertinent Pages, Etc.)
_____	_____	*Applications of Functional Analysis and Operator Theory,* V. Hutson, J.S. Pym, 1980, table of contents, preface and index
_____	_____	Latent Semantic Indexing is an Optimal Special Case of Multidimensional Scaling, Brian T. Bartell, Garrison W. Cottrell, Richard K. Belew, Pages 161-167, 1992; ACM 0-89791-524-0
_____	_____	Improving Relevance Feedback in the Vector Space Model, Carol Lundquist, David A. Grossman, Ophir Frieder, 1997, Pages 16-23; ACM 0-89791-970-X
_____	_____	A Multilevel Approach to Intelligent Information Filtering: Model, System, and Evaluation, J. Mostafa, S. Mukhopadhyay, W. Lam, M. Palakal, ACM Transactions On Information Systems, Vol. 15, No. 4, October 1997, Pages 368-399
_____	_____	Capturing the State of Distributed Systems with XML, Rohit Khare and Adam Rifkin, 10/26/97, Pages 1-12

Exam Init	Ref	(Including Author, Title, Date, Pertinent Pages, Etc.)
_____	_____	Semantic Information Retrieval, Annelise Mark Pejtersen, Pages 90-92, Communications of the ACM, April 1998/Vol. 41, No. 5
_____	_____	Unifying Heterogeneous Information Models, Narinder Singh, Pages 37-44, Communications of the ACM, May 1998/Vol. 41, No. 5
_____	_____	Platform for Internet Content Selection (PICS), 1/3/98, http://www.w3.org/pics/
_____	_____	Intelligent Collaboration & Visualization, Pages 1-16
_____	_____	Noam Chomsky, "Language and Thought," 1993, pages 18-19, 22-27, 44-45, 60-61.
_____	_____	Jonathan Culler, "Ferdinand de Saussure – Revised Edition," 1986, pages 38-57.
_____	_____	Umberto Eco, Marco Santambrogio and Patrizia Violi (Editors), "Meaning and Mental Representations," 1988, page 221.
_____	_____	Donald W. Kahn, "Topology – An Introduction to the Point-Set and Algebraic Areas," 1975, pages 10-15.
_____	_____	Paul R. Halmos, "Naïve Set Theory," 1960, pages 56-57, 66-69.
_____	_____	John G. Hocking and Gail S. Young, "Topology," 1961, pages 6-7, 56-59, 68-71.
_____	_____	Umberto Eco, "Semiotics and the Philosophy of Language," 1984, pages 46-87.
_____	_____	Noam Chomsky, "The Minimalist Program," 1995, pages 13-65.
_____	_____	R. E. Edwards, "Functional Analysis – Theory and Applications," 1965, pages 10-13, 32-33, 50-53, 62-65, 88-103, 174-203, 224-233.
_____	_____	Cognitive Science Laboratory at Princeton University, "WordNet – A Lexical Database for English," printed February 10, 2000, selected pages from website.
_____	_____	George W. Smith, "Computers and Human Language," 1991, pages 204-257.
_____	_____	Vivian Cook and Mark Newson, "Chomsky's Universal Grammar – An Introduction," 1988, pages 40-74, 131-272.
_____	_____	Noam Chomsky, "The Minimalist Program," 1995, pages 13-127.
_____	_____	David Pesetsky, "Zero Syntax Experiencers and Cascades," 1995, pages 1-122.

Examiner: _____

Date Considered: _____

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                COMPARISON OF SEMANTIC ABSTRACTS

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Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:
- ☒ under 37 CFR 1.97 (b), or
  (Within three months of filing national application; or date of entry of International application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:
  - ☐ Statement under 37 CFR 1.97 (e), or
  - ☐ a $240 fee under 37 CFR 1.17 (p), or
  (After mailing of first Office Action, but prior to Notice of Allowance or Final Office Action)
- ☐ under 37 CFR 1.97 (d) together with either:
  - ☐ Statement under 37 CFR 1.97 (e),
  - ☐ Applicant hereby petitions for the consideration of the accompanying information disclosure statement (37 C.F.R. §1.97(d)(ii).
  - ☐ a $130.00 petition fee set forth in 37 CFR 1.17 (i)(1).
  (Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)
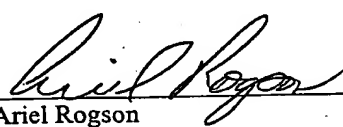
☒ Applicant(s) submit herewith Form PTO 1449- Information Disclosure Citation together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

It is requested that the information disclosed herein be made of record in this application.

Any deficiency or overpayment should be charged or credited to deposit account number 13-1703. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

MARGER JOHNSON & McCOLLOM, P.C.

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PATENT APPLICATION

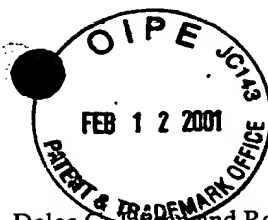## INFORMATION DISCLOSURE CITATION
FORM PTO-1449 (Modified)

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